

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Stephen Randall Holmes-Farley, Pradeep K. Dhal and John S. Petersen
Application No.: 10/647,665 Group Art Unit: 1615
Filed: August 25, 2003 Examiner: Not Assigned
Confirmation No.: 2141
Title: POLY (DIALLYLAMINE)-BASED BILE ACID SEQUESTRANTS

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☐ Copies of the cited references are enclosed.
- ☐ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☒ Copies of the cited references are enclosed except those entered in prior applications, U.S. Application No. 08/777,408, to which priority under 35 U.S.C. 120 is claimed. The earlier applications contains copies of the cited references.
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's
Initials

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

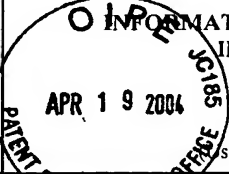
Respectfully submitted,

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Dated: April 15, 2004

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1932.1041-020		APPLICATION NO. 10/647,665	
 <p>April 15, 2004</p> <p>(Use several sheets if necessary)</p>		FIRST NAMED INVENTOR Stephen Randall Holmes-Farley		FILING DATE August 25, 2003	
		EXAMINER Not Assigned		CONFIRMATION NO. 2141	

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	4,340,585	07/20/82	Borzatta <i>et al.</i>
	AB	4,557,930	12/10/85	Kihara <i>et al.</i>
	AC	3,308,020	03/07/76	Wolf <i>et al.</i>
	AD	3,383,281	05/14/68	Wolf <i>et al.</i>
	AE	5,055,197	10/08/91	Albright <i>et al.</i>
	AF	4,217,429	08/12/80	Wagner <i>et al.</i>
	AG	4,205,064	05/27/80	Wagner <i>et al.</i>
	AH	4,098,726	07/04/78	Wagner <i>et al.</i>
	AI	5,236,701	08/17/93	St. Pierre <i>et al.</i>
	AJ	3,803,237	04/09/74	Lednicer <i>et al.</i>
	AK	4,759,923	07/26/88	Buntin <i>et al.</i>
	AA2	4,605,701	08/12/86	Harada <i>et al.</i>
	AB2	4,540,760	09/10/85	Harada <i>et al.</i>
	AC2	4,111,859	09/05/78	Strop <i>et al.</i>
	AD2	4,101,461	07/18/78	Strop <i>et al.</i>
	AE2	4,071,478	01/31/78	Shen <i>et al.</i>
	AF2	3,980,770	09/14/76	Ingelman <i>et al.</i>
	AG2	3,787,474	01/22/74	Daniels <i>et al.</i>
	AH2	3,780,171	12/18/73	Irmscher <i>et al.</i>
	AI2	3,692,895	09/19/72	Nelson <i>et al.</i>
	AJ2	3,288,770	11/29/66	Butler
	AK2	5,374,422	12/20/94	St. Pierre <i>et al.</i>
	AA3	4,027,009	05/31/77	Grier <i>et al.</i>
	AB3	4,559,391	12/17/85	Ueda <i>et al.</i>
	AC3	4,680,360	07/14/87	Ueda <i>et al.</i>
	AD3	5,451,397	09/19/95	Albright <i>et al.</i>

EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED INFORMATION DISCLOSURE CITATION IN AN APPLICATION April 15, 2004 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 1932.1041-020		APPLICATION NO. 10/647,665	
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	AE3	5,430,110	07/04/95	Ahlers <i>et al.</i>
	AF3	3,562,266	02/09/71	Minisci <i>et al.</i>
	AG3	5,462,730	10/31/95	McTaggart <i>et al.</i>
	AH3	5,414,068	05/09/95	Bliem <i>et al.</i>
	AI3	3,801,641	04/02/74	Payot <i>et al.</i>
	AJ3	4,426,489	01/17/84	Wessling <i>et al.</i>
	AK3	2,874,132	02/17/59	Riener
	AA4	5,428,112	06/27/95	Ahlers <i>et al.</i>
	AB4	5,189,111	02/23/93	Danner
	AC4	3,585,118	06/15/71	Harada <i>et al.</i>
	AD4	3,840,504	10/08/74	Keim
	AE4	3,833,531	09/03/74	Keim
	AF4	4,812,540	03/14/89	Kageno <i>et al.</i>
	AG4	5,185,411	02/09/93	Jueptner <i>et al.</i>
	AH4	4,287,172	09/01/81	Jacquet <i>et al.</i>
	AI4	4,360,434	11/23/82	Kawaguchi <i>et al.</i>
	AJ4	4,027,009	05/31/77	Grier <i>et al.</i>

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
	AL	WO92/10522	06/25/92	WIPO		
	AM	0 459 632 A1	12/04/91	EPO		
	AN	929,391	06/19/63	United Kingdom		
	AO	1,567,294	05/14/80	United Kingdom		
	AP	0 162 388	27/11/85	EPO		
	AQ	0 373 852 A2	06/20/90	EPO		

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	AL2	WO94/04596	03/03/94	WIPO		
	AM2	WO94/27620	08/12/94	WIPO		
	AN2	0 432 995 A1	19/06/91	EPO		
	AO2	WO91/18027	28/11/91	WIPO		
	AP2	0 081 291 A3	15/06/83	EPO		
	AQ2	798,488	23/07/58	Great Britain		
	AL3	WO95/34588	21/12/95	WIPO		
	AM3	WO95/34585	21/12/95	WIPO		
	AN3	2 090 605	14/07/82	Great Britain		
	AO3	56010531 A	03/02/81	Japan		X (Abs.)
	AP3	02001358 A	05/01/90	Japan		X (Abs.)
	AQ3	62257481 A	10/11/87	Japan		X (Abs.)
	AL4	62170591 A	27/07/87	Japan		X (Abs.)
	AM4	57047302 A	18/03/82	Japan		X (Abs.)
	AN4	57125233 A	04/08/82	Japan		X (Abs.)
	AO4	0 280 445	31/08/88	EPO		
	AP4	2 227 663	08/08/90	Great Britian		
	AQ4	0 401 705	12/12/90	EPO		
	AL5	7316061	05/12/95	Japan		X (Abs.)

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AR	Heming, A.E., <i>et al.</i> , "Considerations in the Selection of Cation Exchange Resins for Therapeutic Use, " <i>Annals of the New York Academy of Sciences</i> , 57:239-251 (1954).
AS	McCarthy, Peter A., "New Approaches to Atherosclerosis: An Overview," <i>Medicinal Research Reviews</i> , 13(2):139-159 (1993).

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AT	Butler, G.B., <i>et al.</i> , "Comblike Cyclopolymers of Alkyldiallyl amines and Alkyldiallylmethylammonium Chlorides," in <u>Water-Soluble Polymers</u> , eds. Shalaby, McCormick & Butler, Chapter 9, pp. 151-158 ACS Symposium Series 467 (1991).
AU	Dubin, P.L., <i>et al.</i> , "Quasi-Elastic Light Scattering of Polyelectrolyte-Micelle Complexes," <i>Macromolecules</i> 17:1294-1296 (1984).
AV	Wang, G.-J., <i>et al.</i> , "Fluorescence probing of the formation of hydrophobic microdomains by cross-linked poly (alkylmethyldiallyl-ammonium bromides) in aqueous solution," <i>Recl. Trav. Chim. Pays-Bas</i> 113:390-393 (1994).
AW	Kunitake, T., <i>et al.</i> , "Catalyses of Polymer Complexes. 4. Polysoap-Catalyzed Decarboxylation of 6-Nitrobenzisoazole-3-carboxylate Anion. Importance of the Hydrophobic Environment in Activation of the Anion," <i>J. Org. Chem</i> 42(2):306-312 (1977).
AX	Wang, G.-J., <i>et al.</i> , "Study of the Conformational State of Non-Cross-Linked and Cross-Linked Poly (alkylmethyldiallylammonium Chlorides) in Aqueous Solution by Fluorescence Probing," <i>Gazzetta Chimica Italiana</i> , 125:393-397 (1995).
AY	Kuron, G.W., <i>et al.</i> , "The Bile Acid Binding and Hypocholesterolemic Action of Two Water-Soluble Polymers," <i>Atherosclerosis</i> , 37:353-360 (1980).
AZ	Harada, S., <i>et al.</i> , "The Cyclo-copolymerization of Diallyl Compounds and Sulfur Dioxide," <i>Die Makromolekulare Chemie</i> , 107:64-93 (1967).
AR2	Wang, G.-J., <i>et al.</i> , "Induction of Aggregate Formation of Cationic Polysoaps and Surfactants by Low Concentrations of Additives in Aqueous Solution," <i>Langmuir</i> , 10(8):2583-2587 (1994).
AS2	Wang, G.-J., <i>et al.</i> , "Synthesis of Hydrophobically and Electrostatically Modified Polyacrylamides and Their Catalytic Effects on the Unimolecular Decarboxylation of 6-Nitrobenzisoazole-3-carboxylate Anion," <i>Langmuir</i> , 11(10):3856-3861 (1995).
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AU2	Kevelam, J., <i>et al.</i> , "Polymer-Surfactant Interactions Studied by Titration Microcalorimetry: Influence of Polymer Hydrophobicity, Electrostatic Forces, and Surfactant Aggregational State," <i>Langmuir</i> , 12(20):4709-4717 (1996).

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AV2	Wang, G.-J., <i>et al.</i> , "Syntheseis and Catalytic Properties of Cross-Linked Hydrophobically Associating Poly (alkylmethyldiallyl-ammonium bromides)," <i>J. Org. Chem.</i> , 59(15):4076-4081 (1994).
AW2	Yang, Y.J., <i>et al.</i> , "Synthesis and Catalytic Properties of Hydrophobically Modified Poly (alkylmethyldiallylammonium bromides)," <i>J. Org. Chem.</i> , 56:4300-4304 (1991).
AX2	Negi, Y., <i>et al.</i> , "Cyclopolymerization of Diallylamine Derivatives in Dimethyl Sulfoxid," <i>J. of Polymer Science: Part A-1</i> , 5:1951-1965 (1967).
AY2	Hodgkin, H., <i>et al.</i> , "Use of ¹³ C-NMR in the Study of Reactions on Crosslinked Resins," Published by John Wiley & Sons, <i>J. of Polymer Science: Polymer Chemistry Edition</i> , 19(5):1239-1249 (1981).
AZ2	Yeh, F., <i>et al.</i> , "Nanoscale Supramolecular Structures in the Gels of Poly (Diallyldimethylammonium Chloride) Interacting with Sodium Dodecyl Sulfate," <i>J. Am. Chem. Soc.</i> , 118(28):6615-6618 (1996).
AR3	Boothe, J.E., <i>et al.</i> , "Some Homo- and Copolymerization Studies of Dimethyldiallylammonium Chloride," <i>J. Macromol. Sci.-Chem.</i> , A4(6):1419-1430 (1970).
AS3	McLean, C.D., <i>et al.</i> , "Cyclopolymerization. VI. Preparation and Properties of Crosslinked Polyamines by Cyclopolymerization," <i>J. Macromol. Sci.-Chem.</i> , A10(5):857-873 (1976).
AT3	Bolto, B.A., <i>et al.</i> , "Synthesis of Cross-Linked Polyallylamines which are Resistant to Sulfite Attack," <i>J. Macromol. Sci. Chem.</i> , A17(1):153-166 (1982).

EXAMINER	DATE CONSIDERED
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